

Rev. 11/00



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02-05-02

Attorney Docket No. CF/033

Applicants : Andrew C. Gilbert et al.

Application No.: 09/851,848 ✓ Confirmation No.: 3671

Filed : May 9, 2001

For : SYSTEMS AND METHODS FOR CONTROLLING TRADERS
FROM MANIPULATING ELECTRONIC TRADING MARKETS

Group Art Unit : 2164

New York, New York 10020
January 11, 2002

Hon. Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

RECEIVED

JAN 29 2002

Technology Center 2100

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This Statement is
submitted:

- [] within three months of the application filing date;
- [X] more than three months from the application filing
date but before the mailing date of the first
Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this
Statement requires no fee. However, if for any reason a fee is
due, the Director is hereby authorized to charge payment of any
fees required in connection with this Information Disclosure

Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Evelyn C. Mak
Evelyn C. Mak
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I Hereby Certify that this
Correspondence is being
Deposited with the U.S.
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PATENTS P.O. Box 2327
ARLINGTON, VA 22202 on

January 11, 2002
Lillian Garcia

Lillian Garcia
Signature of Person Signing



CF/033

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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INFORMATION DISCLOSURE STATEMENT

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In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants wish to call the attention of the Examiner to the
following documents:

U.S. Patent Documents

Hartheimer et al.	5,258,908	11/02/93
Ordish et al.	5,727,165	03/10/98

PCT Published Application

PCT	WO 00/11588	03/02/00
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These documents are listed on the accompanying Form
PTO-1449 (submitted in duplicate) and copies are enclosed
herewith.

Applicants have not yet received an Office Action on the merits, therefore, pursuant to 37 C.F.R. § 1.97(b)(3), it is believed that no fee is required in connection with this Information Disclosure Statement.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

Evelyn C. Mak
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Registration No. P-50,492
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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
CF/033

APPLICATION
NO.
09/851,848

APPLICANTS
Andrew C. Gilbert et al.

CONFIRMATION
NO.
3671

FILING DATE
May 9, 2001

GROUP
2164



U.S. PATENT DOCUMENTS

[illegible]

PCT PUBLISHED APPLICATIONS

[illegible]

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.